

NOTICE OF FINANCIAL ASSISTANCE AWARD

(See Instructions on Reverse)

Under the authority of Public Law _____
and subject to legislation, regulations and policies applicable to (cite legislative program title): _____

1. PROJECT TITLE Applied Research and Development of Technologies for the Management of Greenhouse Gases				2. INSTRUMENT TYPE <input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT	
3. RECIPIENT (Name, address, zip code, area code and telephone no.) To All Prospective Offerors				4. INSTRUMENT NO.	
				5. AMENDMENT NO. 003	
				7. PROJECT PERIOD FROM: THRU:	
8. RECIPIENT PROJECT DIRECTOR (Name and telephone no.)				10. TYPE OF AWARD <input type="checkbox"/> NEW <input type="checkbox"/> CONTINUATION <input type="checkbox"/> RENEWAL <input type="checkbox"/> REVISION <input type="checkbox"/> SUPPLEMENT	
9. RECIPIENT BUSINESS OFFICER (Name and telephone no.)					
11. DOE PROJECT OFFICER (Name, address, zip code, telephone no.)				12. ADMINISTERED FOR DOE BY (Name, address, zip code, telephone no.) Deborah J. Boggs, (304)285-4473 U.S. DOE, National Energy Technology Laboratory P.O. Box 880, Morgantown, WV 26507-0880	
13. RECIPIENT TYPE <div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> STATE GOV'T</div> <div style="width: 33%;"><input type="checkbox"/> INDIAN TRIBAL GOV'T</div> <div style="width: 33%;"><input type="checkbox"/> HOSPITAL</div> <div style="width: 33%;"><input type="checkbox"/> FOR PROFIT ORGANIZATION</div> <div style="width: 33%;"><input type="checkbox"/> INDIVIDUAL</div> <div style="width: 33%;"><input type="checkbox"/> LOCAL GOV'T</div> <div style="width: 33%;"><input type="checkbox"/> INSTITUTION OF HIGHER EDUCATION</div> <div style="width: 33%;"><input type="checkbox"/> OTHER NONPROFIT ORGANIZATION</div> <div style="width: 33%;"><input type="checkbox"/> C <input type="checkbox"/> P <input type="checkbox"/> SP</div> <div style="width: 33%;"><input type="checkbox"/> OTHER (Specify) _____</div> </div>					
14. ACCOUNTING AND APPROPRIATIONS DATA:				15. EMPLOYER I.D. NUMBER	
a. Appropriation Symbol	b. B&R Number	c. FT/AFP/OC	d. CFA Number		
16. BUDGET AND FUNDING INFORMATION					
a. CURRENT BUDGET PERIOD INFORMATION			b. CUMULATIVE DOE OBLIGATIONS		
(1) DOE Funds Obligated This Action \$ _____ (2) DOE Funds Authorized for Carry Over \$ _____ (3) DOE Funds Previously Obligated in this Budget Period \$ _____ (4) DOE Share of Total Approved Budget \$ _____ (5) Recipient Share of Total Approval Budget \$ _____ (6) Total Approved Budget \$ _____			(1) This Budget Period \$ _____ <i>[Total of lines a.(1) and a.(3)]</i> (2) Prior Budget Periods \$ _____ (3) Project Period to Date \$ _____ <i>[Total of lines b.(1) and b.(2)]</i>		
17. TOTAL ESTIMATED COST OF PROJECT \$ _____ <i>(This is the current estimated cost of the project. It is not a promise to award nor an authorization to expend funds in this amount.)</i>					
18. AWARD AGREEMENT TERMS AND CONDITIONS This award/agreement consists of this form plus the following: a. Special terms and conditions. b. Applicable program regulations (<i>specify</i>) _____ (Date) _____. c. DOE Assistance Regulations, 10 CFR Part-600, as amended. d. Application/proposal dated _____, <input type="checkbox"/> as submitted <input type="checkbox"/> with changes as negotiated.					
19. REMARKS The purpose of this amendment is to revise the final due date for proposals for Federal Assistance Solicitation DE-PS26-99FT40613. For a description of the amendment, please refer to the following pages. The applicant shall specifically indicate their acknowledgment and receipt of the amendment posted on the NETL Website at http://www.netl.doe.gov/business/solicit/ by signing the amendment and including it in Volume I or stating the receipt of the amendment in the text of Volume I					
20. EVIDENCE OF RECIPIENT ACCEPTANCE			21. AWARDED BY		
_____ <i>(Signature of Authorized Recipient Official)</i> <i>(Date)</i>			_____ <i>(Signature)</i> <i>(Date)</i>		
_____ <i>(Name)</i>			Raymond R. Jarr <i>(Name)</i>		
_____ <i>(Title)</i>			Contracting Officer <i>(Title)</i>		

INSTRUCTIONS

(This form shall be completed in accordance with the following instructions. For any clarification or additional information that might be needed, consult the appropriate section of the DOE Financial Assistance Procedures Manual (DOE-FAPM).)

Insert in the space provided, in the line which begins, "Under the Authority of Public Law ...," the number and the name of the Public Law which authorizes this award. On the line below, enter the title of the pertinent program.

Block 1 — Enter the project title as it appears in the SF-424 or equivalent application/proposal face sheet.

Block 2 — Place a checkmark in the box beside the appropriate financial assistance instrument.

Block 3 — Enter the name, address, and telephone number of the applicant/proposer as it appears in the SF-424 or equivalent application/proposal face sheet.

Block 4 — Enter the instrument number. (See DOE-FAPM.)

Block 5 — Enter the appropriate amendment number. (See DOE-FAPM for guidance.)

Block 6 — Enter the starting date and expiration date for the current budget period. If a budget period is being changed, enter the starting date and expiration date for the budget period, as changed.

Block 7 — Enter the starting date and anticipated completion date for the project. If a project period is being changed, enter the starting date and anticipated completion date for the project period, as changed.

Block 8 — Enter the name and telephone number of the individual designated by the applicant/proposer as the director of the project.

Block 9 — Enter the name and telephone number of the individual designated by the applicant/proposer as the contact for all business matters.

Block 10 — Place a checkmark in the box opposite the term which identifies the type of action being taken. (The terms are defined in the DOE-FAPM.)

Block 11 — Enter the name, address, and telephone of the individual designated by the DOE program office as the project officer.

Block 12 — Enter the name, address, and telephone number of the individual/organization who will administer the agreement for DOE.

Block 13 — Place a checkmark in the box beside the applicable recipient type. If the recipient is a for-profit organization, also check one of the lower boxes as follows: "C" for Corporation, "P" for Partnership, and "SP" for Sole Partnership. If the recipient is of a type not indicated, place a checkmark in the box beside "Other," and identify the recipient type in the space provided.

Block 14 — Enter where indicated, the appropriation symbol, B&R number, Fund Type (FT)/AFP Code (AFP)/Objective Class (OC) and CFA Number from the Procurement/Financial Assistance Request Authorization (DOE Form PR-799A). Completion Block 14.d. is required only for awards made by Headquarters.

Block 15 — Enter the applicant's/proposer's Federal Employer Identification No. from the SF-424 or equivalent application/proposal face sheet, or if the applicant/proposer is an individual, enter his/her social security number.

Block 16 — Entries should be made as follows. (If no dollar entry is appropriate, a zero should be entered to indicate there was no error of omission.)

Line a.(1) — Enter the amount of DOE funds obligated by this action.

Line a.(2) — Enter the amount of DOE funds not expended in prior budget period(s), if any, authorized by DOE for expenditure in the current budget period.

Line a.(3) — Enter the amount of DOE funds previously obligated in the current budget period.

Line a.(4) — Enter DOE's share of the total approved budget shown in Line a.(6).

Line a.(5) — Enter the recipient's share of the total approved budget shown on Line a.(6).

Line a.(6) — Enter the total approved budget for the current budget period. (Add the amounts in Lines a.(4) and a.(5).)

Line b.(1) — Enter the amount of DOE funds obligated in the current budget period. (Add the amounts in Lines a.(1) and a.(3).)

Line b.(2) — Enter the amount obligated by DOE in prior budget periods.

Line b.(3) — Enter the amount obligated by DOE in the project period to date. (Add the amounts in Lines b.(1) and b.(2).)

Block 17 — Must be completed for cooperative agreements. Contracting Officers may exercise discretion as to whether to complete it for grants. Enter the blank provided, the amount which represents the current estimate of total funds and dollar value of in-kind contributions (both DOE and recipient shares) needed to carry out the entire project. Include all funds and contributions previously provided, those being provided by this action, and all anticipated future obligations and contributions of both parties.

Block 18 — Complete as follows.

Item a. — No entry necessary.

Item b. — Enter the legal citation from the Code of Federal Regulations or Federal Register and the effective date for the program regulations applicable to the program under which the award is made.

Item c. — Mark the box beside B for grants or C for cooperative agreements.

Item d. — In the blank provided, enter the date of the application/proposal. (If SF-424 is used, see block 23c on page 1.) Place a checkmark in the appropriate box to indicate whether the application/proposal was accepted as submitted or with negotiated changes.

Block 19 — Enter any explanation or advisory comments which are required for, or applicable to, this action.

Block 20 — Will be completed by the recipient.

Block 21 — The Contracting Officer shall sign and date the top line. His/her name and title should be entered on the next two lines. This box must be signed prior to forwarding to recipient.

FEDERAL ASSISTANCE SOLICITATION NO. DE-PS26-99FT40613
APPLIED RESEARCH AND DEVELOPMENT OF TECHNOLOGIES FOR THE
MANAGEMENT OF GREENHOUSE GASES
Amendment 003

The purpose of this amendment is to modify the late applications, amendments and withdrawals of applications; time, date and place applications are due; application preparation instructions; business and financial application preparation instructions; and change Attachment 1. The name of the issuing office is hereby changed from the Federal Energy Technology Center (FETC) to the National Energy Technology Laboratory (NETL). All references in the agreement to FETC are changed to NETL. Accordingly, the solicitation is amended as follows:

1. Section V.-- Conditions and Notices

Clause 5.18 LATE APPLICATIONS, AMENDMENTS AND WITHDRAWALS OF APPLICATIONS (AUG 1999) is deleted in its entirety and replaced with the following:

"Clause 5.18 LATE APPLICATIONS, AMENDMENTS AND WITHDRAWALS OF APPLICATIONS (JAN 2000)

An application or amendment of an application shall be timely if it is received at the location on or before any of the deadline dates and times specified in this section; or

Applications or amendments of applications may be withdrawn by written notice at any time before award. Written notice includes E-mails and facsimiles. An authorized representative may withdraw applications in person, if the representative's identity is made known and the representative signs a receipt for the application before award."

2. Clause 5.13 TIME, DATE AND PLACE APPLICATIONS ARE DUE - MULTIPLE DUE DATES (AUG 1999). The text of the clause is deleted in its entirety and replaced with the following:

"Applications shall be submitted in paper and disk media in sealed envelopes or packages addressed to the office and point of contact specified below:

APPLICATIONS MUST BE RECEIVED AT THE FOLLOWING MAILING ADDRESS NO LATER THEN 4:00 P.M. ON JULY 31, 2000.

Evaluation Period

1
2

Closing Date

January 18, 2000 (Closed)
July 31, 2000

Applications that are received after the due date specified above will not be accepted for evaluation purposes and will be returned to the applicant upon receipt of a written request.

U. S. Department of Energy
National Energy Technology Laboratory
P. O. Box 880
3610 Collins Ferry Road
Morgantown, WV 26507-0880

Point of Contact: Deborah J. Boggs
Telephone Number: (304)285-4473
Fax Number: (304)285-4683
E-MAIL Address: dboggs@netl.doe.gov
Contracting Officer: **Raymond R. Jarr**

External Marking of Applications

Applications shall be marked with the following information:

- (1) The address of Proposer
- (2) Solicitation Number
- (3) Due Time and Date of Applications
- (4) Point of Contact at Issuing Office"

3. Item No. 15 of Amendment 001 titled "Section VI -- Application Preparation Instructions." Attachment 2 to Amendment 001 shall be deleted in its entirety. Applicants shall follow instructions contained in Clause 6.4 of the solicitation when completing the technical portion of the application.
4. Section VI - Application Preparation Instructions - Clause 6.3 Volume 1-- Business and Financial Application Preparation Instructions (Aug 1999) is deleted in its entirety and replaced with the following clause:

"6.3 VOLUME I -- BUSINESS AND FINANCIAL APPLICATION PREPARATION INSTRUCTIONS (AUG 1999)"

Volume I consists of a Proposal Coversheet (Attachment 1 to this amendment), application forms, assurances, budget pages, environmental questionnaire, exceptions and deviations to the model award, and any other business and financial information.

The application identified as the original shall contain all original signatures of all documents requiring a signature by the offeror. Use of reproductions of signed originals is authorized in all other copies of the application.

The applicant shall not provide application information in three-ring binders.

Format and Content.

ALL FORMS NEEDED FOR PREPARATION OF VOLUME I ARE FOUND ON THE NETL HOMEPAGE AT: <http://www.netl.doe.gov/business/forms/forms.html> IN EITHER WORDPERFECT or PDF format. PLEASE NOTE THAT ALL FORMS WERE DEVELOPED USING WORDPERFECT 6.1 AND FORMATTED FOR PRINTING USING AN HP LASERJET III Si PRINTER. QUESTIONS ON COMPLETION OF THE FORMS SHOULD BE ADDRESSED TO THE CONTRACT SPECIALIST.

Furthermore, a listing of the Volume I forms is presented in the table below:

Form No.	Title
assure.fa	Financial Assistance Assurance Package
1600.5	*Assurance of compliance
4600.4	Federal Assistance Budget Information
4620.1	Budget Page
4220.35	*Additional Representations and Certifications for Federal Financial Assistance
4220.38	Assurance, Non-Construction Programs
Nepasol.	Environmental Questionnaire for Solicitations
424	Application for Federal Assistance
424b	Assurances-Non-Construction programs
SFLL	*Disclosure of Lobbying Activities
	*Form also contained within form file: assure.fa.

Volume I shall include the following documents (in the order listed):

1. VOLUME I BUSINESS AND FINANCIAL APPLICATION COVERSHEET

Appearing first on Volume I is the Proposal coversheet for VOLUME I--BUSINESS AND FINANCIAL APPLICATION PREPARATION INSTRUCTIONS, (see Attachment 1) which shall be provided with the original and each copy of Volume I.

2. APPLICATION FOR FEDERAL ASSISTANCE Standard Form 424

3. FINANCIAL ASSISTANCE ASSURANCE PACKAGE -- **Filename: assurefa**

4. BUDGET PAGE(S)

The applicant must provide a detailed budget information on one or more of the following budget forms. Supporting cost data shall be submitted as indicated by the instructions.

Failure to provide the detailed cost information as described in the instructions will result in an incomplete package. If a minimum cost share is required by this solicitation, the applicant shall stipulate in the application the source and amount of cost sharing and the value of third party in-kind contributions proposed to meet the requirement.

- a. Federal Assistance Budget Information -- DOE F 4600.4
- b. Budget Page-- DOE F 4620.1
- c. Grant Application Project Period Summary -- ER F 4620.1A
- d. Budget Information -Non-Construction Programs -- SF424a

5. ENVIRONMENTAL QUESTIONNAIRE -- **Filename: nepasol**

6. EXCEPTIONS AND DEVIATIONS TAKEN TO THE MODEL AGREEMENT

The offeror shall identify and explain any exceptions or deviations taken or conditional assumptions made with respect to the model agreement, the requirements of this Section, and other matters included in Volume I.

Any exceptions taken must contain sufficient amplification and justification to permit evaluation. The benefit to the Government shall be explained for each exception taken. Such exceptions will not, of themselves, automatically cause an application to be termed unacceptable. A large number of exceptions, or one or more significant exceptions not providing benefit to the Government, however, may result in rejection of your application(s) as unacceptable.

7. SUMMARY OF EXCEPTIONS AND DEVIATIONS TAKEN IN OTHER VOLUMES

The offeror shall summarize each technical, cost, business, or other exceptions taken elsewhere, and provide specific cross references to its full discussion."

End of Amendment 003

Attachment 1

This is the Proposal Coversheet for Volume I and shall be provided with the original and each copy of Volume I.

VOLUME I--BUSINESS AND FINANCIAL APPLICATION PREPARATION INSTRUCTIONS
Applied Research and Development of Technologies for the Management of Greenhouse Gases
DE-PS26-99FT40613

Proposal No. _____
(For official use only)

Proposal Date: _____
Acceptance Days: _____

Proposed Title: _____

Topic Area: (Check One Appropriate Block)

- ☐ Separation and Capture
- ☐ Sequestration of CO₂ in Geologic Formations
- ☐ Ocean Sequestration
- ☐ Carbon Sequestration in Terrestrial Ecosystems (Soils and Vegetation)
- ☐ Advanced Concepts (Chemical, Biological, and Other Approaches)
- ☐ Modeling and Assessments

Proposed Stage of R&D: {Check Appropriate Block(s)} -- See Attachment 3 of the amendment for a definition of the various stages of research and development.

- ☐ Basic Research
(Dollar Value: \$ _____ & Percentage: _____)
- ☐ Applied Research and Exploratory Development
(Dollar Value: \$ _____ & Percentage: _____)
- ☐ Advanced Development
(Dollar Value: \$ _____ & Percentage: _____)
- ☐ Engineering/Operational Systems Development
(Dollar Value: \$ _____ & Percentage: _____)

Company Name: _____
Address: _____

Point of Contact: _____
Telephone/FAX Number: _____
Principal Investigator: _____
Telephone Number: _____

PROPRIETARY INFORMATION: Does this submittal contain Proprietary or Confidential Information?

____ NO ____ YES (if yes, complete box below)

NOTICE OF RESTRICTIONS ON DISCLOSURE AND USE OF DATA

The data contained on pages _____ of this proposal are submitted in confidence and contain trade secrets or privileged or confidential commercial and financial information. Such data may be used or disclosed only for evaluation purposes. If an award is made to the applicant as a result of or in connection with the submission of this proposal, the Government shall have the right to use or disclose data herein to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.